

Form PTO-1390		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER P21289
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/869,334
INTERNATIONAL APPLICATION NO. PCT/JP00/00472	INTERNATIONAL FILING DATE 28 January 2000	PRIORITY DATE CLAIMED 29 January 1999	
TITLE OF INVENTION PROCESS FOR PRODUCING HMG-CoA REDUCTASE INHIBITORS			
APPLICANT(S) FOR DO/EO/US Hirofumi ENDO, Yoshiyuki YONETANI, Hiroshi MIZOGUCHI, Shin-ichi HASHIMOTO, and Akio OZAKI			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.			
<p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p style="margin-left: 20px;">"Executed"</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).</p>			
<b>Items 11 to 16 below concern other document(s) or information included:</b>			
11. Assignee: <u>KYOWA HAKKO KOGYO CO., Ltd. Of Tokyo, JAPAN</u>			
12. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.			
13. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.			
14. <input type="checkbox"/> A FIRST preliminary amendment.			
<input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.			
15. <input type="checkbox"/> A substitute specification.			
16. <input type="checkbox"/> A change of power of attorney and/or address letter.			
17. <input type="checkbox"/> Figure of Drawing to be published _____			
18. <input checked="" type="checkbox"/> Other items & information:			
Cover Letter			
PCT/DO/EO/917			
PCT/DO/EO/905			

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09 869,334	INTERNATIONAL APPLICATION NO. PCT JP00 00472	ATTORNEY'S DOCKET NUMBER P21289
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19. ☒ The following fees are submitted:

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search report has been prepared by the EPO or JPO. .... \$ 860.00

International preliminary examination fee paid to USPTO (37 CFR 1.482). .... \$ 690.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)). .... \$ 710.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. .... \$1,000.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). .... \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

**Rec'd PCT/PTO**

**26 SEP 2001**

Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$130.00	
Claims	Number Filed	Number Extra	RATE		
Total Claims	39 - 20 =	19	X \$18.00	\$ 0.00	
Independent Claims	8 - 3 =	5	X \$80.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$270.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$130.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00	
SUBTOTAL =				\$130.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				0.00	
Extension of Time fee in the amount of \$					
TOTAL NATIONAL FEE =				\$130.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	
TOTAL FEES ENCLOSED =				\$130.00	
				Amount to be refunded	\$
				Charged	\$

a. ☒ A check in the amount of \$130.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO CUSTOMER NO. 7055  
 AT THE PRESENT ADDRESS OF:  
 Bruce H. Bernstein  
 GREENBLUM & BERNSTEIN, P.L.C.  
 1941 Roland Clarke Place  
 Reston, VA 20191  
 (703) 716-1191

SIGNATURE  
 Bruce H. Bernstein  
 NAME  
 29,027 33,078  
 REGISTRATION NUMBER

P21289.P04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hirofumi ENDO et al.

Serial No : 09/869,334  
(National Stage of PCT/JP00/00472)

I.A. Filed : January 28, 2000

For : PROCESS FOR PRODUCING HMG-CoA REDUCTASE INHIBITORS

**COVER LETTER**Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

In order to comply with the requirements (copy enclosed) for the submission of an executed declaration of the International Application set forth in the Notification mailed August 15, 2001 which sets a two months period of response until October 15, 2001, Applicants hereby submit:

- Transmittal Letter to the United States Designated/Elected Office Concerning a

Filing

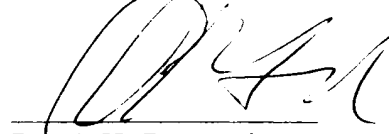
Under 35 U.S.C. 371

- an executed Declaration and Power of Attorney;
- a check in the amount of \$130.00 to cover the surcharge for late filing of the Declaration.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, he is invited to contact the undersigned at the below listed number.

Respectfully submitted,  
Hirofumi ENDO et al



Bruce H. Bernstein

Reg. No. 29,027

*By 723 33, 199*

September 25, 2001  
GREENBLUM & BERNSTEIN, P.L.C.  
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